

Chapter 4

The Relationship of Joint And Army Force Planning

Joint matters, as identified in Title IV, Public Law 99-433, Goldwater-Nichols Department of Defense Reorganization Act of 1986, are defined as "...matters relating to the integrated employment of land, sea, and air forces including matters relating to:

Section I Introduction

4-1. Chapter content

The *Goldwater-Nichols Act* profoundly changed the relationships among the Services and with the organizations of the OSD, the COCOMs, and the JCS. This chapter addresses the processes used within the DOD, the JCS, the COCOMs, and the Army to determine the force levels required to meet the U.S. national security objectives and military strategy and to fulfill COCOM force requirements. These processes also determine the capabilities that need to be resourced by the Services' programs within the Planning, Programming, Budgeting and Execution Process (PPBE) (see Chapter 9) and provide the basis for the DOD Future Years Defense Program (FYDP) (see para 9-12).

4-2. The joint strategic planning system (JSPS)

The JSPS is the primary formal means by which the Chairman of the JCS (CJCS), in consultation with the other members of the JCS and the COCOM Commanders, carries out the responsibilities required by Title 10, USC. The CJCS statutory responsibilities include: assisting the President and SecDef in providing strategic direction to the Armed Forces; advising the SecDef on programming priorities; preparing strategic plans; and advising the SecDef on the program recommendations and budget proposals of the Services and DOD's combat support agencies. The JSPS is a flexible and interactive process providing supporting military advice to the PPBE and the strategic guidance for use in the Joint Operations Planning and Execution System (JOPEs). JSPS provides the venue for the CJCS to review the national security environment and U.S. national security objectives; evaluate the threat; assess current strategy and existing or proposed programs and budgets; and propose military strategy, programs, and forces necessary to achieve those national security objectives. At the same time JSPS accounts for a resource limited environment consistent with policies and priorities established by the President and the SecDef (Figure 4-1).

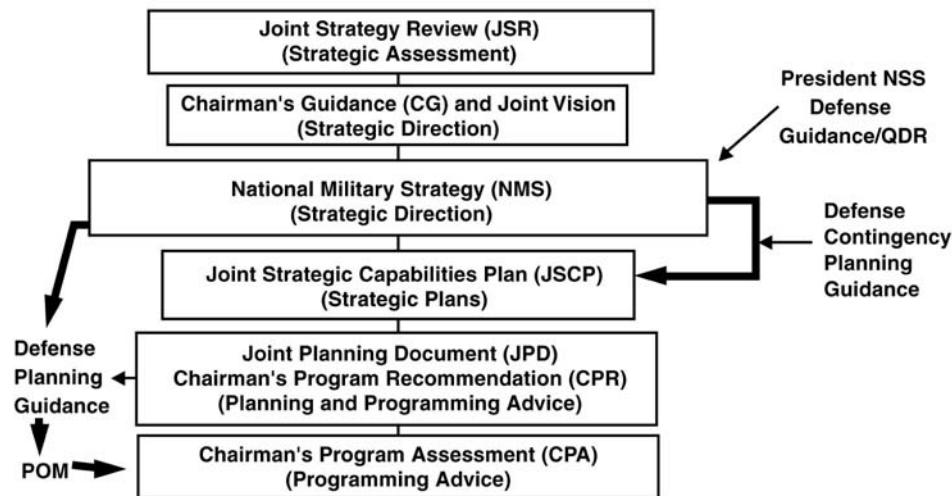


Figure 4-1. JSPS Documents

4-3. Joint requirements oversight council (JROC) and capabilities assessments (see para 4-12)

As the principal military advisor to the President and SecDef, the CJCS is responsible for the assessment of military needs from a joint warfighting perspective to ensure that the nation effectively leverages joint Service and Defense agency capabilities while minimizing their limitations. Such assessments involve readiness requirements and improving joint military capabilities. The JROC, which oversees the activities of the capabilities assessments provide recommendations to the CJCS on the content of the planning and programming advice documents. These assessments are continuous and are assessments conducted by teams of warfighting and functional area experts from the Joint Staff, COCOMs, Services, OSD, defense agencies, and others. The JROC and capabilities assessments will be discussed in greater detail later in this chapter.

4-4. Army participation in joint planning and resourcing processes

The Army participates fully in the strategic planning and resource processes. The ARSTAF supports the Chief of Staff of the Army (CSA), in the role as a member of the JCS, by performing analyses and providing input to the JSPS. The ARSTAF supports the VCSA, in the role as a member of the JROC, by direct participation in the capabilities assessment process. The ARSTAF supports the SECARMY, as a member of the Defense Resources Board (DRB) (see para 9-15), by participating in JSPS and JROC, and by performing additional analyses as required in support of the development of the Strategic Planning Guidance (SPG) and Joint Programming Guidance (JPG).

4-5. JOPES

a. JOPES provides the procedural foundation for an integrated and coordinated approach to developing, approving, and publishing OPLANs. This operational planning process concerns the deployment and employment of current forces, and not the identification of future force requirements. The latter is part of the force planning/development process. (See Chapter 6 for detailed discussion of JOPES.)

b. The Army supplement to JOPES is the Army Mobilization and Operations Planning and Execution System (AMOPES). AMOPES provides the structure and process for Army participation in JOPES, as well as serving other purposes. (See Chapter 6 for further discussion of JOPES and AMOPES.)

Section II

Joint strategic planning system (JSPS)

4-6. JSPS overview

While the emphasis of this text is on the Army management systems, it is first necessary to understand the relationship of DOD, the JCS, and the COCOMs to the Army force planning process.

a. The CJCS is charged with preparing strategic plans and with assisting the President and the SecDef in providing strategic direction to the Armed Forces. The JSPS, as prescribed by CJCS Instruction (CJCSI) 3100.01A, provides the framework for strategic planning and formulating strategic direction of the Armed Forces. Joint strategic planning begins the process to create the forces whose capabilities are apportioned to COCOMs for their planning.

b. Within the Joint Staff, strategic planning is primarily the responsibility of the Strategic Plans and Policy Directorate, J-5, and the Force Structure, Resources, and Assessment Directorate, J-8. They use input from the Joint Staff, OSD, other DOD and Federal agencies, COCOMs, and the Services to assist in formulating policy, developing strategy, and providing force planning guidance. Primary responsibility for the management of JOPES, to include the review and approval of operations plans, resides with the Operational Plans and Interoperability Directorate, J-7, and Operations Directorate, J-3.

c. The JSPS constitutes a continuing process in which documents or products (assessments/studies) are produced to provide this formal direction. Some of these are developed concurrently and others are dependent on each other. Key components of the JSPS include continuous strategic assessments, strategic direction of the Armed Forces, strategic plans, and programming advice to the SecDef.

4-7. Strategic direction

Strategic direction is the common thread that integrates and synchronizes the activities of the Joint Staff, COCOMs, and Services. Through the guidance provided by the nation's civilian leaders in the NSS, Quadrennial Defense Review (QDR) and other major policy documents, the CJCS and the other members of the JCS establish a common focal point, planning horizons, and critical assumptions necessary for the articulation of a strategic vision, strategies, goals, missions, objectives, plans, policies, requirements, and programmed resources. This strategic direction consists of the following two documents:

a. *Chairman's Guidance (CG)*. CG provides a common set of assumptions, priorities, intent, and critical planning factors required in the development of future strategies and plans in the JSPS. CG may or may not be promulgated as a separate document. When not a separate document the CG serves as an integral part of the strategy development

process. CG may be established pursuant to the conduct of a Joint Strategy Review (JSR) to be described later or, the drafting of a new NMS, or provided separately.

b. National Military Strategy (NMS). The NMS is a principal document by which the CJCS fulfills the obligation of providing strategic direction for the Armed Forces. Deriving overall security policy guidance from the President's NSS, the NMS defines the national military objectives, establishes the strategy to accomplish these objectives, addresses the military capabilities required to execute the strategy, and provides a joint vision for future joint warfighting. (The document previously known as the Joint Vision is no longer produced but a future vision is now incorporated within the NMS.) The NMS describes the strategic landscape and includes a discussion of the potential threats and risks. It also provides strategic direction for the development of the Joint Strategic Capabilities Plan (JSCP) and the assessments of Combatant Commander Readiness. The National Defense Authorization Act for Fiscal Year 2004 requires the Chairman to submit to the Armed Services Committees of the House and Senate, NLT 15 February in even number years, a report containing the results of a comprehensive examination of the national military strategy. A separate portion of this strategy document includes a classified risk assessment. This strategy document flows through the SecDef before being submitted to these committees. This report is understood to be the National Military Strategy (NMS) described above.

4–8. Joint strategic capabilities plan (JSCP)

The JSPS fulfills the Chairman's formal responsibility to prepare strategic plans by means of the JSCP. The purpose of the JSCP is to provide guidance to the COCOM commanders and Service Chiefs to accomplish tasks and missions based on current military capabilities. The JSCP serves to integrate the deliberate operation and engagement planning activities of the entire joint planning and execution community (JPEC) within a coherent and focused framework. It provides specific theater planning tasks and objectives, delineates necessary planning assumptions, and apportions resources to COCOM Commanders. The resulting plans therefore support and implement the objectives of the NMS.

a. The Contingency Planning Guidance (CPG) is the statutory guidance required every two years, but can be provided more frequently, from the SecDef to the CJCS. The SecDef issues the guidance with the approval of the President after consulting with the CJCS. The CPG is focused on guidance contained in the SPG and the NSS, and is the principal source document for the JSCP.

b. The JSCP tasks the COCOMs to develop deliberate plans, including operations plans (OPLANs), CONPLANs, functional plans, and Theater Security Cooperation Plan (TSCP). The JSCP provides specific theater guidance on the strategic objectives and priorities for theater contingency activities that are needed to shape the theater security environment in peacetime. From this guidance, COCOM commanders develop TSCPs for peacetime cooperation. These plans provide COCOM Commander's intent, priorities, tasks, and resources required to achieve objectives over the FYDP. COCOM Commanders may integrate the elements of Theater Security Cooperation (TSC) into overall theater strategic plans.

c. The JSCP apportions, for planning, the major combat forces, strategic lift, and pre-positioned assets expected to be available for both Active and Reserve Component (RC) forces. The COCOM Commander may then incorporate these forces in their respective plans. The JSCP also contains an intelligence assessment addressing the global threat environment as well as the probability of selected smaller-scale contingencies in various countries throughout the world. Supplemental instructions on a wide variety of specified functional areas (e.g. logistics, communications, etc.) to execute these plans are published separately from the JSCP and provide further planning guidance in these functional areas.

4–9. Planning and programming advice

a. Role of Joint Chiefs of Staff.

(1) The JCS has the statutory responsibility to "advise and make recommendations to the SecDef with respect to the requirements of the COCOMs". Based on the strategic planning priorities, objectives and future capabilities outlined in the NMS, the CJCS provides this advice during the preparation of the SPG and the JPG. The SPG represents the culmination of the planning phase of the PPBE and the JPG serves to guide the programming efforts of the Services and other subordinate organizations or agencies of the DOD. In order to satisfy all planning and policy responsibilities, it is important that the strategy, plans, and concepts developed within the JSPS are supported by a programmatic system that identifies, budgets for, and acquires the needed capabilities.

(2) Validation of operational concepts is the job of strategists, planners, and tacticians. Programmers develop, produce, and acquire the equipment and systems necessary to achieve capabilities, and execute plans and strategies to validate operational concepts and their associated capabilities. Strategy and programs must be continually reviewed to be sure that the strategies adopted are supportable and that the programs complement the strategy and plans.

b. Role of the Chairman.

(1) The Chairman's Program Recommendation (CPR), and Chairman's Program Assessment (CPA) together make up the Chairman's formal planning and programmatic advice to the SecDef. In addition to these documents, the J–8 interfaces with Defense policy and programming offices when guidance is being developed to provide a joint capability assessment.

(2) The CPR, which is personal correspondence between the CJCS and SecDef, provides more specificity on

programs of greatest concern to the Chairman in the SPG development process. Finally, building on the information developed in the CPR preparation process and after review the Service POMs, the CPA provides the Chairman's assessment of the adequacy of the Service and Defense agency programs and where applicable, provides recommendations to the SecDef on specific alternative program and budget proposals based upon an assessment of current and future joint capability requirements.

c. *Chairman's Program Recommendation (CPR)*. The CPR provides the Chairman's personal recommendations to the SecDef for consideration in the SPG, reflecting the Chairman's view of programs important for improving joint capabilities. The CPR development process considers the prior years input and current year's capability assessments that originate from the Joint Operations Concept (JopsC) and associated Joint Operating Concepts (JOCs) analyses. It primarily focuses on recommendations that will enhance joint readiness, promote joint doctrine and training, and better satisfy joint warfighting requirements within DOD resource constraints and acceptable risks. The capabilities processes and work of the functional capabilities boards (FCBs) and subsequent briefings to the JROC, combined with the deliberations of the JROC and visits to COCOM Commanders, provide a forum to discuss program recommendations. The CPR draft is vetted with the COCOM Commander, Service Chiefs, and J-Director. The Chairman considers the comments from these senior leaders as he personally finalizes the CPR.

d. *Chairman's Program Assessment (CPA)*. The CPA contains the Chairman's alternative program recommendations and budget proposals for the SecDef's consideration in refining the defense program and budget. The Chairman reviews the POMs of the Services and appropriate combat support agencies of the DOD and the preliminary program decisions made regarding the Defense Program. The CPA, delivered near the end of the program review cycle, provides the Chairman's assessment of the adequacy of the Service and Defense agency POMs, as defined in the most recent programming cycle. The CPA also includes an evaluation of the extent to which the POMs conform to the priorities established in strategic plans and the COCOM Commander's requirements. Again, the FCB process and subsequent briefings to the JROC, combined with the JROC's deliberations and visits to COCOM Commanders, provide a forum to discuss program assessments that ultimately are vetted and appear in the CPA.

e. *Joint Planning Document (JPD)*. While the JPD remains in the current regulation, it is not being used. Previously, it was submitted as part of the advice provided to the SecDef for use in the development of defense planning guidance. Hence there is no discussion of this document's contents.

f. *Summary*. The SecDef prepares the SPG and JPG to establish the planning and programming priorities of the DOD. The Chairman uses the NMS and CPR to communicate advice on these priorities and uses the CPA to assist in evaluating compliance and consistency with the guidance, as he evaluates the Service support of COCOM requirements.

4-10. Strategic assessments

a. *The Chairman and assessments*. The Chairman is responsible for performing ongoing assessments supporting the development of strategic advice and assistance to the President and SecDef. Specifically, the Chairman is responsible for assessing the: ability of the NMS to achieve national security objectives; ability of the strategic and theater plans to accomplish the components of the NMS; capabilities of the Armed Forces to accomplish the tasks and requirements of the strategic plans; and capabilities of the Armed Forces and allied forces as compared to those of potential adversaries. Assessments provided in the JSPS include the JSR and the Joint Net Assessment (JNA) process. In addition, the chairman also makes a risk assessment of the ability to execute the national military strategy and provides this to the SecDef.

b. *Joint Strategy Review (JSR)*.

(1) The JSR provides the primary means for the CJCS to analyze strategic concepts and issues relevant to strategy formulation. The JSR process continuously gathers information through an examination of current, emerging, and future issues related to threats, strategic assumptions, opportunities, technologies, organizations, doctrinal concepts, force structures, and military missions.

(2) This analysis provides a basis for changes to the NMS or the Joint Operating Concept. The JSR analysis provides a strategic framework for the Chairman's advice on critical defense issues. The JSR validates a common set of planning assumptions and provides a common reference point used by other Joint Staff processes such as the FCBs or to influence an upcoming QDR.

(3) The JSR is a continuous process used to develop strategic military planning advice and assessments. JSR working groups, composed of representatives from the Joint Staff, Services, COCOMs, and supported by the Defense agencies, study the strategic environment out to a common planning horizon or they may study specific areas of concern identified by the Chairman. The JSR produces periodic JSR issue papers if there are significant changes and usually an annual JSR report.

(4) The JSR annual report provides a framework for the Chairman's strategic military advice. It usually includes an assessment of the strategic environment, national security objectives, and strategic priorities covering a long-term (10 to 20 years) review window. It reports changes in the strategic environment that are significant enough to warrant senior leadership review. The report highlights the threat assessment and issues from JSR issue papers, their impact on the NMS, and provides the Chairman with options and a recommendation. The Chairman's endorsement of a course of action constitutes guidance to update, change, or retain parts of the current NMS and other operating concepts. When

appropriate, formal revisions have been made to other strategic documents such as the NMS in lieu of publishing a formal JSR report.

c. Joint Net Assessment (JNA).

(1) The Chairman is responsible for assessing current capabilities of U.S. Forces and their allies and comparing them with the capabilities of potential adversaries. The JNA process provides the mechanism to assess strengths and deficiencies and their effect on U.S. forces' capability to meet national security objectives. In addition, strengths and deficiencies are assessed in terms of their affect on strategic plans. This assessment is conducted with the full participation of the COCOMs and the Services. The JNA process provides a strategic-level risk assessment and provides the basis for developing risk associated with alternative force structures and strategies.

(2) As a minimum, the JNA process develops a net assessment every four years (quadrennial assessment). This net assessment, based on a risk evaluation force, projects U.S. and allied capabilities against those capabilities that would reasonably be available to potential adversaries. This quadrennial assessment is provided to the SecDef and supports the assessment of current strategy and the development of alternative force structures and strategies.

(3) In the event of significant changes in the national security environment, emerging threats, or at the direction of the President or SecDef, the JNA process assesses the capabilities of the current force structure and compares them to the capabilities of potential adversaries. This assessment supports the ongoing JSR process and provides the necessary evaluation of U.S. forces' capability to achieve current NMS objectives.

4-11. The Joint Requirements Oversight Council (JROC)

By statute the Chairman, Joint Chiefs of Staff is responsible to chair the Joint Requirements Oversight Council, and the functions of the JROC chairman may only be delegated to the Vice CJCS (VCJCS). Other members of the JROC are selected by the CJCS after consultation with the SecDef, who are in the grade of General and Admiral that are recommended by their military Departments. In addition, combatant Commanders have a standing invitation to attend JROC sessions as desired. Historically, the JROC has consisted of the VCJCS, the Vice Chiefs of Staff of the Army and Air Force, Vice Chief of Naval Operations, and the Assistant Commandant of the Marine Corps. Since 1994, the CJCS expanded the authority of the JROC to assist in building senior military consensus across a range of issues across four broad functional areas. These functional areas are capabilities, assessments, joint integration, and resources (Figure 4-2).

a. The JROC has continued to broaden its strategic focus to include providing top down guidance in defining military capabilities from a joint perspective and integrating this advice within the planning, programming and budgeting process. The JROC oversees the Joint Capabilities Integration and Development System (JCIDS) defense capabilities development and acquisition programs as specified in CJCSI 3170.01D and DOD 5000.1. Additionally, JROC activity has been increasingly focused on dialogue with Combatant Commanders on the full range of warfighting requirements and capabilities. In 1994, the JROC established the Joint Warfighting Capabilities Assessment (JWCA) process as a tool to improve analysis and assessment capabilities to enhance joint operations. The JWCA process has experienced major revisions over the past year, and is now referred to simply as Capabilities Assessments. JWCA teams and the capabilities assessments they performed have been subsumed within the newly established Functional Capabilities Boards (FCBs). The domains of each of these Functional Capabilities Boards have expanded several times in the recent past. The current organization covers the following eight critical warfare functional areas: Battlespace Awareness; Force Application; Command and Control; Logistics; Protection; Net-Centric; Force Management; and Joint Training (See Figure 4-3). Finally, the JROC continues to maintain its direct integration in the PPBE process. Significant effort is involved in the production of two JSPS documents, the Chairman's Program Recommendations (CPR) and the Chairman's Program Assessment (CPA), both discussed earlier in the section on JSPS.

b. The JROC initially created the JROC Review Board (JRB) to assist the integration and coordination effort of the JWCA. In 1999, the JRB officially changed its title to Joint Requirements Board, and in 2003 changed its title again to the Joint Capabilities Board (JCB) to align with JCIDS processes. The JCB consists of the Director, J-8, and the appropriate Service-designated general/flag officer representatives. The JCB assists the JROC in overseeing the capabilities integrations and development process and the capabilities assessment process. The JCB reviews capabilities assessment insights, findings, recommendations, and provides both guidance and direction.

c. The Joint Requirements Panel (JRP) was originally formed to prepare the JRB and the JROC for their roles. This panel was comprised of the O-6 level JROC action officers from each of the Services and the Joint Staff, and was chaired by the Deputy Director, J-8. JRP members served as the primary advisors to their Services' JRB/JROC principals and integrate Service participation in JWCA studies and assessments. With the formation of the eight Functional Capabilities Boards, the need for the JRP ceased. Subsequently, the FCBs serve as the points of entry for all JROC actions and activities. Additionally, the FCBs, under the supervision of a Joint Staff or Joint Forces Command flag officer, serve as integrators of functional capability development and ensure that major programs are fully integrated into joint architectures from the outset. The JROC and its associated organizations continue to evolve in order to remain focused on strategic issues and concepts. As an example of this strategic focus and desire to directly influence future systems and capabilities, each of the organizations within the JROC process has become deeply involved in developing Operational Concepts and Operational Architectures, as well as developing strategic guidance to

influence transformation. The overall intent is to provide more upfront guidance to ensure capabilities and systems are “born joint.”

d. Along with the changes to the structures and name of boards and panels as discussed above, advisory support to the JROC has increased. For example, there are organizations within the Office of the Secretary of Defense (e.g. Comptroller, Policy, Intelligence, etc.) that now come to the capabilities meetings as part of the functional control boards. Further, certain interagency organizations have a standing invitation to attend and provide senior level advisory participation at JROC related meetings, such as the NSC, CIA, OMB, DHS and others. This evolution allows for a broader vetting and input of issues and capabilities before they get to the most senior level for decision.

4-12. Capabilities Assessments

Capabilities Assessment teams, under the supervision of a Functional Capability Board, examine key relationships and interactions among joint warfighting capabilities and identify opportunities for improving warfighting effectiveness. The teams consist of warfighting and functional area experts from the Joint Staff, Combatant Commands, Services, OSD, DOD agencies, and others as deemed necessary. Assessment issues are presented to the FCB for initial issue review, to the JCB for further issue development, and then to the JROC for final recommendation to the CJCS. Through this process the JROC then is instrumental in helping the CJCS forge consensus and examine alternatives.

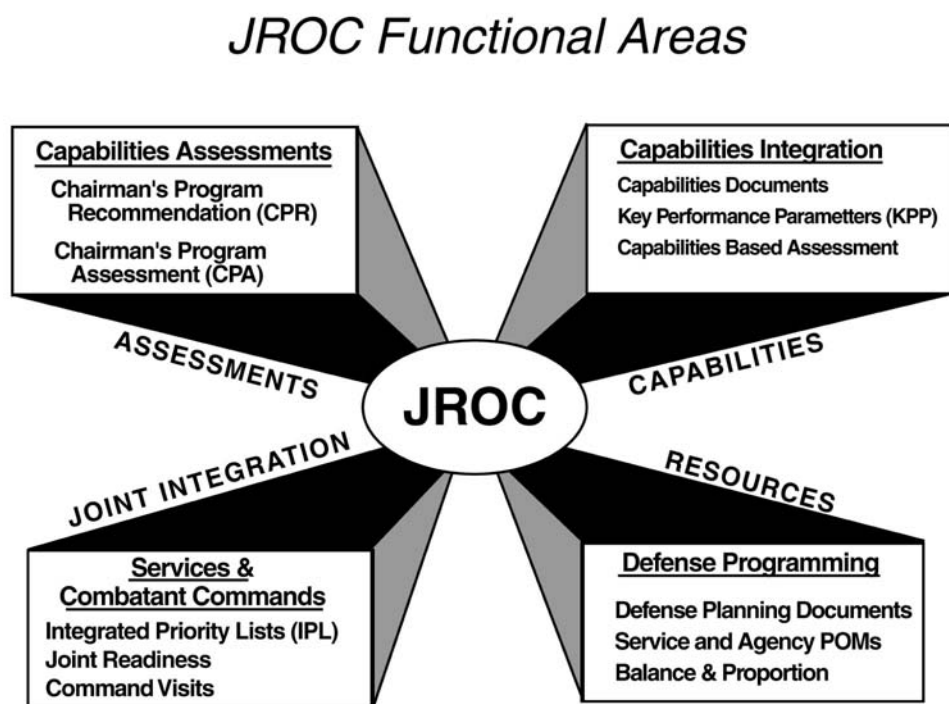


Figure 4-2. JROC functional area

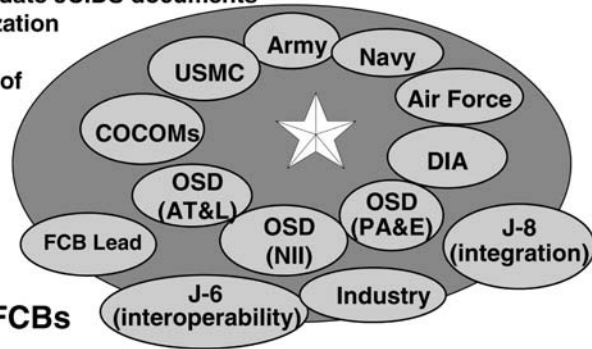
Functional Capability Board (FCB)

Chaired by Flag Officer

- ✓ Most are now co-chaired by OSD SES

Responsibilities

- ✓ Evaluate and forward / validate JCIDS documents
- ✓ Annual review and prioritization of capability gaps
- ✓ Annual review and update of functional concepts
- ✓ Annual review and update of portfolio



Currently Chartered FCBs

| | | | |
|-----------------------|-------------|-------------------|----------------|
| Battlespace Awareness | Protection | Force Application | Logistics |
| Command and Control | Net-Centric | Force Management | Joint Training |

Figure 4–3. Functional Capabilities Board

Section III

Planning and resourcing

4–13. DOD planning, programming, budgeting system, and execution process (PPBE)

a. PPBE is a cyclic process containing four interrelated phases: planning, programming, budgeting and execution (Figure 4–4). The process provides for decision-making on future programs and permits prior decisions to be examined and analyzed from the viewpoint of the current environment (threat, political, economic, technological, and resources), and for the time period being addressed.

b. PPBE is the formal resource management system for developing and maintaining the FYDP. It progresses from the articulation of the defense strategy to defining the organizations, training, and forces to support that strategy. During the planning phase, the SecDef provides policy direction, program guidance, and fiscal controls for the remainder of the PPBS cycle.

c. The planning phase of PPBE culminates with the issuance of the SPG. The SPG contains planning and broad guidance to the Services and the Defense agencies for the conduct of force planning and program development. The SPG identifies the major challenges and opportunities bearing on America's security and prosperity, outlines the force structure and modernization priorities best suited to implement the defense strategy, and establishes policies in a host of other areas from counter-proliferation initiatives to defense manpower and infrastructure. The JPG comes about six months later in the process and provides greater specificity on programming requirements so fiscally informed strategy decisions can be made.

d. Summary. The SPG and JPG are the OSD guidance documents for providing policy and direction for program development. Together both of these documents establish overall resource priorities and provides specific programming guidance.

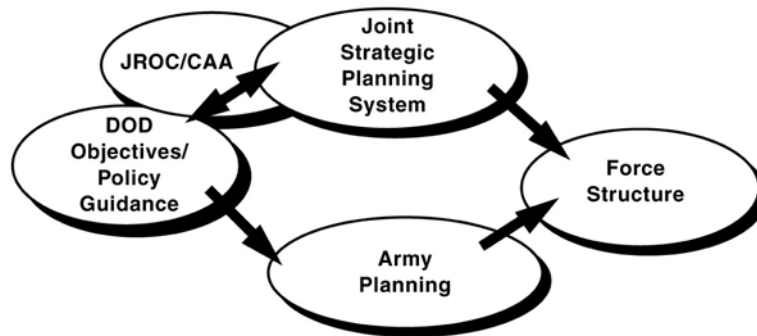


Figure 4-4. Army force requirements

4-14. The Army planning system

System overview.

a. The Army planning system is designed to meet the demands of JSPS, JROC/CA, JOPES, and PPBE. Through the JSPS and the JROC/JWCA processes, the Army provides its input to the documents, which present the advice of the CJCS, in consultation with the other members of the JCS and the COCOM Commanders, to the SecDef and the President.

b. The Army PPBE initiates Army planning system. This planning system addresses the development of defense policies and the military strategy for attainment of national security objectives and policies. It determines force requirements and objectives, and establishes guidance for the allocation of resources for the execution of Army roles and functions in support of national objectives. It provides the forum within which the Army conducts all planning, except operational (contingency) planning which is performed by the COCOMs with CJCS guidance and Service assistance. The Army's PPBE planning phase supports the DOD PPBE programming phase and the JSPS. It also provides guidance for the subsequent phases of the Army PPBE. Planning is defined as the continuing process by which the Army establishes and revises its goals or requirements and attainable objectives, chooses from among alternative courses of action, and determines and allocates its resources (manpower and dollars) to achieve the chosen course of action. The value of comprehensive planning comes from providing an integrated decision structure for an organization as a whole.

c. Adequate planning requires "causative thinking"—a way and means of making events happen to shape the future of an organization instead of adapting to a future that unfolds from "blind forces." Planning is experimenting with ideas that represent the resources of an organization without risking those resources. It is designed to reduce risk by simplifying and ordering as much information as possible upon which to make a decision. It includes the development of options.

d. The Army planning system includes strategic planning and force planning for both requirements and objectives. Strategic planning is the development of national defense policy, national military objectives, and the NMS. Strategic planning provides direct support (DS) to the DOD PPBE and JSPS, while concurrently supporting the Army PPBE. These planning activities serve to guide the subsequent development of programs and budgets. Army planning includes the identification of the integrated and balanced military forces necessary to accomplish that strategy, and provision of a framework for effective management of DOD resources towards successful mission accomplishment consistent with national resource limitations.

Section IV

The Joint Operations Planning and Execution System (JOPES)

4-15. JOPES

a. The joint operation planning process is a coordinated joint staff procedure used by commanders to determine the best methods of accomplishing tasks and to direct the actions necessary to accomplish those tasks. Joint Operation Planning and Execution System (JOPES) is used to conduct joint planning. JOPES facilitates the building and maintenance of operation plans (OPLANs) and concept plans. It aids in the development of effective options and operations orders through adaptation of OPLANs or plan creation in a no-plan scenario. JOPES provides policies and procedures to ensure effective management of planning operations across the spectrum of mobilization, deployment,

employment, sustainment, and redeployment. As part of the Global Command and Control System, JOPES supports the deployment and transportation aspects of joint operation planning and execution.

b. JOPES contains five basic planning functions – Threat identification and assessment, strategy determination, course of action development, detailed planning and implementation. Refer to Chapter 6 for more details on JOPES.

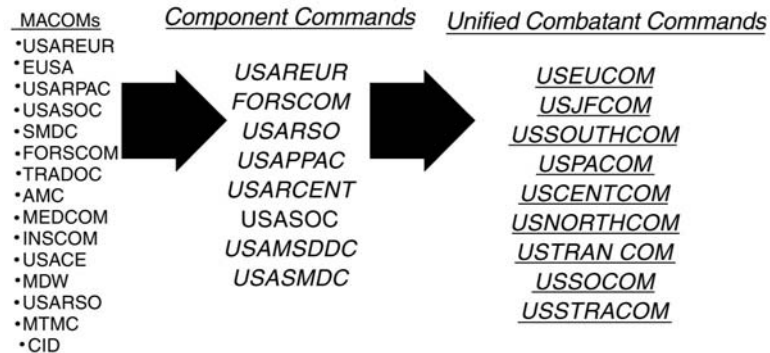


Figure 4–5. Army force providers

4–16. Combatant Commands (COCOM)

a. COCOMs provide for the integrated effectiveness of U.S. military forces in combat operations and for the projection of U.S. military power in support of U.S. national policies. They are established by the President through the SecDef with the advice and assistance of the CJCS. The Unified Command Plan (UCP) is the document that establishes the COCOMs.

b. The chain of command extends from the President to the SecDef to the commanders of the COCOMs. Forces are assigned under the authority of the SecDef. A COCOM is a command with a broad continuing mission under a single commander and composed of significant assigned components of two or more Services. COCOMs have full command of those forces assigned.

c. The COCOMs and the command and communication relationships are indicated in Figure 4–6.

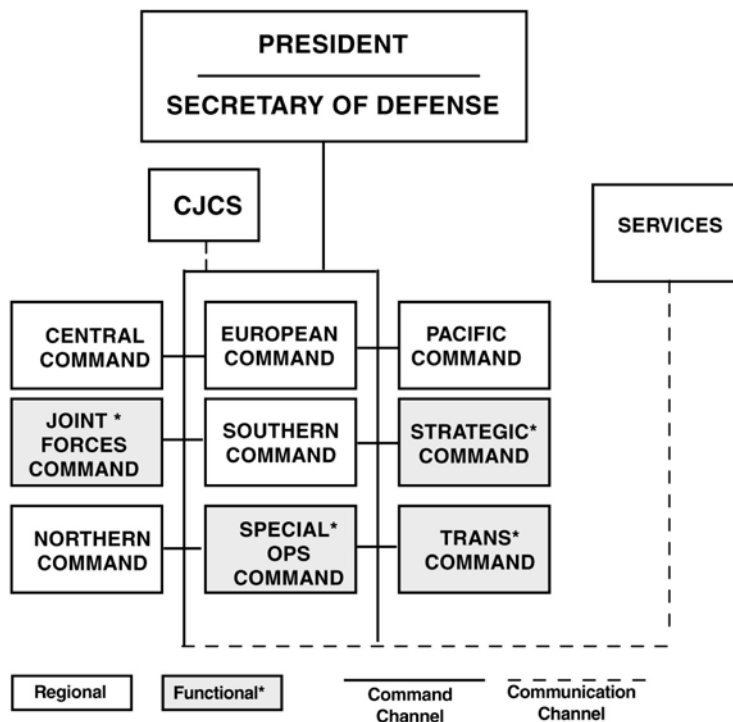


Figure 4–6. Command and communication

(1) U.S. Joint Forces Command is the primary joint force provider and will develop recommended global joint sourcing solutions for forces and capabilities worldwide. It is responsible for the oversight of all the conventional forces under JFCOM, PACOM, and EUCOM. USJFCOM does not provide forces from SOCOM, TRANSCOM, or STRATCOM. USJFCOM is responsible for transformation, experimentation, joint training, interoperability and force provision as outline in the UCP. USJFCOM is the “transformation laboratory” of the United States military that serves to enhance the Unified Commanders’ capabilities to implement that strategy. USJFCOM develops future concepts, test these concepts through rigorous experimentation, educate joint leaders, train joint forces, and make recommendations on how the Army, Navy, Air Force and Marines can better integrate their warfighting capabilities.

(2) U.S. Central Command (USCENTCOM) area of responsibility includes 25 culturally and economically diverse nations located throughout the Horn of Africa, South and Central Asia, and Northern Red Sea regions, as well as the Arabian Peninsula and Iraq. The addition of the five Central Asian States has brought new challenges and opportunities to USCENTCOM’s area of responsibility. The Central Asian nations include Kyrgyzstan, Kazakhstan, Turkmenistan, and Uzbekistan.

(3) U.S. European Command (USEUCOM) is responsible for the U.S. contribution to North Atlantic Treaty Organization (NATO) and for commanding U.S. forces assigned to Europe. Its area of responsibility includes six countries that belonged to the former Soviet Union, portions of the Middle East, most of the African states bordering on the Mediterranean, and Africa south of the Sahara. The Command USEUCOM is also Supreme Allied Commander, Europe (SACEUR), a major NATO commander, and as such is responsible for the defense of Allied Command Europe.

(4) U.S. Pacific Command (USPACOM) is responsible for defense of the United States from attacks through the Pacific Ocean, and for U.S. defense interests in the Pacific, Far East, South Asia, Southeast Asia, and the Indian Ocean.

(5) U.S. Special Operations Command (USSOCOM) exercises COCOM of all CONUS-based special operations forces (SOF). The missions of USSOCOM are to: prepare assigned forces to carry out special operations (SO), psychological operations (PSYOP), and civil affairs (CA) missions as required; plan for and conduct SO in support of United States national security objectives; provide SOF to other COCOMs when directed; and recommend to CJCS strategy and doctrine for joint employment of SOF. Major units include: Army Special Forces, Rangers, special operations aviation, PSYOP, and CA units; Navy sea-air-land teams (SEALs) and special boat units; and Air Force

special operations squadrons. USSOCOM is unique in that USCINCSOC is responsible for planning, programming, and budgeting for Major Force Program 11, Special Operations Forces.

(6) USSOUTHCOM area of responsibility includes the landmass of Latin America south of Mexico; the waters adjacent to Central and South America; the Caribbean Sea, its 12 island nations and European territories; the Gulf of Mexico; and a portion of the Atlantic Ocean. It encompasses 32 countries (19 in Central and South America and 12 in the Caribbean) and covers about 15.6 million square miles. USSOUTHCOM shapes the environment within its area of responsibility by conducting theater engagement and counter drug activities in order to promote democracy, stability and collective approaches to threats to regional security; when required responds unilaterally or multilaterally to crises that threaten regional stability or national interests, and prepares to meet future hemispheric challenges.

(7) U.S. Transportation Command (USTRANSCOM) is responsible for providing global air, land, and sea transportation to deploy, employ, and sustain military forces to meet national security objectives in peace and war. Its component commands are the Air Mobility Command (AMC), the Military Sealift Command (MSC), and the MTMC.

(8) U.S. Strategic Command (USSTRATCOM) provides full-spectrum global strike, coordinated space and information operations capabilities to meet both deterrent and decisive national security objectives. Provide operational space support, integrated missile defense, global C4ISR and specialized planning expertise to the joint warfighter. USSTRATCOM is the command and control center for U.S. strategic forces and controls military space operations, computer network operations, information operations, strategic warning and intelligence assessments as well as global strategic planning. The command is responsible for both early warning of and defense against missile attack and long-range conventional attacks. The command is charged with deterring and defending against the proliferation of weapons of mass destruction (WMD).

(9) U.S. Northern Command's (USNORTHCOM) mission is homeland defense and civil support, specifically: conduct operations to deter, prevent, and defeat threats and aggression aimed at the United States, its territories, and interests within the assigned area of responsibility; and as directed by the President or SecDef, provide MACA including consequence management operations. USNORTHCOM plans, organizes, and executes homeland defense and civil support missions, but has few permanently assigned forces. The command will be assigned forces whenever necessary to execute missions as ordered by the President.

4-17. Relationship of the chairman of the JCS (CJCS) to combatant commanders

The *Goldwater-Nichols DOD Reorganization Act of 1986* specifies that the SecDef may assign to the CJCS responsibility for overseeing the activities of the COCOMs. The UCP directs that communications between the COCOM Commanders and the President or SecDef shall be transmitted through the CJCS, unless otherwise directed by the President or SecDef. These two directives place the CJCS in a unique and pivotal position. However, such directives do not confer command authority on the CJCS and do not alter the responsibilities of the COCOM Commanders. Subject to the direction of the President, a COCOM Commander—

- a. Performs duties under the authority, direction, and control of the President and SecDef.
- b. Responds directly to the President and SecDef for the preparedness of the command to carry out missions assigned to the command.

Section V

Summary and references

4-18. Summary

a. Joint planning is conducted under the direction of the CJCS, in consultation with the Services and COCOMs. The JSPS is oriented toward identifying and evaluating the threats facing the nation and looking at ever changing strategic environment. It provides the basis for formulating the nation's military strategy and defining resource needs in terms of capabilities, forces, and materiel. The PPBE focuses resource allocation, making it dollar and manpower oriented. The PPBE is concerned with the acquisition of those resources necessary to provide the capabilities required to execute the strategy identified by the SPG and JPG as well as that overall defense strategy articulated in the QDR. Cost is balanced against risk. The JSPS, JROC, and Capabilities Assessments process impact the PPBS starting with the planning phase by providing programming advice contained the NMS and CPR and through the programming phase by assessing the Service and defense agency POMs with the CPA.

b. JOPEs focuses on deliberate operation planning and crisis action planning, deployment, and execution. The JSCP, based on the CPG, translates the NMS into taskings. JSCP requires that plans be completed to accomplish tasked missions within available resources. The COCOMs are the organizations that develop the various JSCP directed plans. JOPEs is oriented on the most effective use of the nation's current military capability against the near-term threat. The JSCP is the JSPS document that starts the deliberate planning process. The JSCP is the formal link between JSPS and JOPEs.

c. The details of planning change constantly. However, the overall process of identifying the capabilities required, assessing threat to include asymmetric threat, developing a military strategy, structuring forces to support the strategy,

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providing resources for priority requirements, and planning for the deployment of those forces to meet contingencies are essentially a requirement from year to year.

d. Capabilities planning is not a precise activity, even though the resulting force levels to execute some of these capabilities are stated precisely in terms of divisions, air wings, carrier battle groups, and the like. There are many uncertainties involved in capabilities planning, and the resultant analyses to determine force structure, as well as the risks inherent with a particular force level, are judgmental in nature. There is a fundamental change occurring where capabilities assessments are the focus of the future. The Army participates and contributes to all these processes.

4-19. References

- a. National Military Strategy of the United States of America 2004, *A Strategy for Today: A Vision for Tomorrow*, Chairman of the Joint Chiefs of Staff, 2004.
- b. Joint Publication 0-2, *Unified Action Armed Forces (UNAAF)*.
- c. Joint Publication 5-0, *Doctrine for Planning Joint Operations*.
- d. CJCS Instruction 3100.01A, *Joint Strategic Planning System*.
- e. CJCS Instruction 3137.01C, *The Functional Capabilities Board Process*.
- f. CJCS Instruction 3170.01D, *Joint Capabilities Integration and Development System*.
- g. CJCS Instruction 5123.01, *Charter of the Joint Requirements Oversight Council*.
- h. Army Regulation 1-1, *Planning, Programming, Budgeting, and Execution System*.
- i. Army Regulation 71-11, *Total Army Analysis*.
- j. Army Regulation 500-5, *Army Mobilization*.
- k. Field Manual 100-11, *Force Integration*.
- l. Joint Forces Staff College (JFSC) Pub 1, *The Joint Staff Officer's Guide 2000*.
- m. DOD, Quadrennial Defense Review Report, September 30, 2001.